

**COMMONWEALTH OF KENTUCKY
DEPARTMENT OF FINANCIAL INSTITUTIONS
DIVISION OF SECURITIES
1025 CAPITAL CENTER DRIVE, SUITE 200
FRANKFORT, KY 40601
PHONE (502) 573-3390**

BROKER-DEALER REGISTRATION

To initially register as a broker-dealer in Kentucky, a firm must:

1. Submit a Form BD and \$120.00 filing fee to the CRD.
2. Submit to the Division at the above address a list of agents to be initially registered with the firm who are *physically* located in Kentucky. The list must include the CRD number and Kentucky business address of the agent. If the firm will not initially register any agents who are physically located in Kentucky, then the firm need only to submit the Form BD and filing fee to the CRD.

A broker-dealer shall promptly file an amendment with the CRD if the information contained in its Form BD becomes inaccurate or incomplete in any material respect.

To renew a registration, a broker-dealer shall submit a fee of \$120.00 to the CRD. Within 90 days of the renewal, the firm shall submit a current list of registered agents that are located in Kentucky. The list must include the CRD number and Kentucky business address of the agent.

AGENT REGISTRATION

It is unlawful for a broker/dealer to employ an agent in Kentucky unless that person is registered under the provisions of KRS 292.330. A registered broker/dealer must have at least one agent registered in Kentucky.

All agent applications shall be submitted on the Form U-4 to the CRD for registration in Kentucky along with a \$50.00 registration fee. The Department requires that an agent pass the Series 63 or 66 examination in addition to the applicable NASD exam(s).

The renewal fee for an agent is \$50.00.

